



# UNIFORMED SERVICES UNIVERSITY OF THE HEALTH SCIENCES



## SUBJECT: Performance Management Program Instruction 1436

(CHR)

DATE:

MAY 28 1993

### ABSTRACT

This Instruction provides policy & guidance regarding the Uniformed Services University of the Health Sciences (USUHS) Performance Management System (PMS) and the Performance Management and Recognition System (PMRS) consisting of the required performance appraisal system, a Within-Grade Increase (WGI) Plan, a Performance Awards Plan, a Superior Accomplishment Awards Plan, and a Quality Salary Increase (QSI) Plan.

**A. REISSUANCE AND PURPOSE.** This Instruction reissues the policy contained in USUHS Instruction 1435<sup>a</sup> and combines it with the policy contained in 1436<sup>b</sup>. It establishes procedures and policies for implementing a General Schedule/Federal Wage System (PMS) and General Manager (PMRS) performance management system.

**B. REFERENCES.** References used in this Instruction are in Enclosure 1.

### **C. APPLICABILITY.**

1. This Instruction sets forth the procedures and policies for establishing performance elements and standards and for rating employees' performance for all positions except:

a. Faculty and staff in the Administratively Determined (AD) pay plan.

b. Employees appointed by the U.S. President.

c. Employees in the Senior Executive Service (SES).

d. Positions filled by Noncareer Executive Assignments under 5 CFR 305<sup>c</sup>.

e. Students under cooperative education programs.

2. In addition, this plan does not cover employees in positions for which employment is not reasonably expected to exceed 120 days in a consecutive 12-month period.

**D. DEFINITIONS.** Terms used in this Instruction are defined in Enclosure 2.

**E. POLICY.** The Performance Management Plan is designed to:

1. Link individual and organizational goals.

2. Involve managers, supervisors, and employees in the performance appraisal process.

3. Ensure that employees are:

a. Informed in writing of critical and non-critical elements and performance standards at the beginning of each rating period and whenever there are changes in elements and standards.

b. Motivated and afforded the opportunity to perform to their full potential.

c. Held accountable for meeting performance standards.

d. Provided feedback on performance of their duties and responsibilities compared to performance standards, and on ways to improve performance.

e. Assigned accurate element ratings and summary rating levels based on performance during the rating period.

4. Provide management with a tool for systematic assessment of results achieved by individual employees to:

a. Use as a basis for planning and assigning work.

b. Make decisions on compensation, training, rewards, reassignments, promotions, reductions in grade, retention, and removal of employees.

c. Assist employees in improving

performance.

5. Make supervisory personnel responsible for the effectiveness and productivity of the employees they supervise.

6. Provide sound and continuing basis for effective supervisor-employee relationships.

**F. RESPONSIBILITIES.** Performance management is an inherent responsibility of supervisors, managers, faculty who supervise employees covered by this Instruction, and executives.

1. The Vice Presidents, Deans, Chairs, and Activity Heads shall:

a. Ensure fair and consistent application of this Instruction in compliance with governing laws, rules, and regulations.

b. Develop and communicate departmental objectives and priorities to assist supervisors and managers in developing employee performance plans.

c. Ensure that employees are informed of their annual rating periods and who their rating officials are by position.

d. Ensure that supervisors and employees receive appropriate performance appraisal training and orientation.

e. Establish administrative and remedial procedures to be used when performance ratings are not completed in a timely manner.

f. Establish procedures to manage the performance management process to:

(1) Provide for review of performance standards for difficulty and consistent application.

(2) Include safeguards to ensure that only those employees whose performance exceeds normal expectations are rated above "Fully Successful".

(3) Assure that equitable and appropriate amounts of funds are provided for performance awards for deserving employees.

g. Serve a dual role as both reviewing and approving officials for performance plans and ratings when they are not first level supervisors (Raters).

2. Performance Plan Approving Officials shall:

a. Review and approve performance plans.

b. Establish an internal system to assure performance ratings are accomplished in a timely manner by raters.

c. Review and approve performance ratings in a timely manner, ensuring accuracy and conformance with this Instruction.

d. Ensure that performance ratings are considered in personnel management decisions and related actions.

e. Resolve disagreements between reviewers and rating supervisors.

3. Performance Plan Reviewers shall:

a. Ensure that performance plans and ratings are processed by subordinate supervisors in a timely manner.

b. Review employee performance plans and ratings prepared by subordinate supervisors to ensure consistency and equity throughout the organization.

c. Ensure that Individual Development Plans are reasonable, attainable, and related to organizational goals and objectives and career progression.

d. Recommend approval of performance plans and approve "Fully Successful" ratings prepared by raters, giving fair consideration to any employee comments.

4. Rating Supervisors shall:

a. Communicate organizational goals and objectives and priorities to employees.

b. Ensure participation of GM employees in the development and revision of performance plans. Encourage PMS employees to participate in performance plans development and revision.

c. Discuss performance plans with employees and provide them a written copy of the plan within 30 days of the beginning of each rating period and when plans are revised during the rating period.

d. Evaluate performance, comparing results achieved with performance

plans, and counsel employees on progress and areas that need improvement to assist in improving job performance, particularly when performance falls below "Fully Successful."

e. Prepare performance ratings in a timely manner.

f. Use performance management as a basis for pay determinations and to train, reward, reassign, promote, reduce in grade, retain, or remove employees from Federal service, or to recommend same.

g. Ensure that position descriptions are kept current.

5. Employees shall:

a. Take part in the development of performance plans.

b. Plan and perform duties so that performance plans will be carried out.

c. Propose needed changes on performance plans during the rating period.

d. Identify work problems and cooperate with supervisors to resolve them and set objectives to improve work performance.

e. Complete assigned training to meet current or future job performance needs.

6. The Director, Civilian Human Resources Management (CHR) shall:

a. Provide advice and assistance

to supervisors and managers in carrying out their performance management responsibilities.

b. Provide supervisors and managers with:

(1) Adequate performance management training opportunities.

(2) Technical advice in performance appraisal policies and procedures.

(3) Notification of annual and probationary performance rating due dates.

(4) Necessary assistance to follow up on delinquent performance ratings and to maintain record copies of performance ratings.

c. Evaluate performance management effectiveness and provide feedback to supervisors and managers.

7. The President, USUHS shall establish a Performance Standards Review Board (PSRB), which has responsibility for reviewing the quality and difficulty of GM performance standards.

8. The PSRB shall:

a. Consist of at least six members chosen by the President or his designee.

(1) One-half of the membership of the board must be GM employees in the competitive service.

(2) The chair will be chosen by the President or his designee.

(3) Technical direction for its operation will be provided by the Chief, Workforce Relations Division (WFR), CHR.

(4) The scope of responsibility for the board may be as broad or as narrow as the President, USUHS determines to be necessary.

b. Review a representative sample of GM Employee Performance Plans (USUHS Form 1436A) for quality and difficulty of performance standards.

c. Review the rating distribution for GM employees with a view toward ensuring the equitable application of performance standards.

d. Study the feasibility of organizational awards for GM employees.

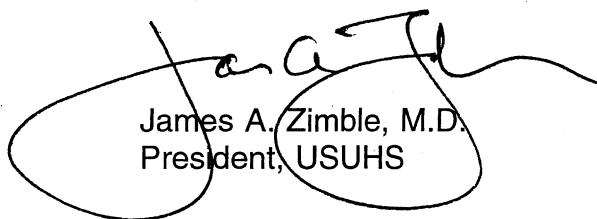
e. Provide technical assistance on any demonstration projects on performance management involving GM employees.

f. Report to the President or his/her designee at least annually.

g. Have no authority to approve or modify Performance Plans prepared for individual GM employees. Further, boards will review ratings but will not recommend or dictate any distribution of GM employee performance ratings. Such reviews will be conducted after ratings of record have been prepared, approved, and communicated.

**G. PROCEDURES.** Procedures for this Instruction are found in Enclosure 3.

**H. EFFECTIVE DATE.** This Instruction is effective immediately.



James A. Zimble, M.D.  
President, USUHS

Enclosures

1. References
2. Definitions
3. Procedures
4. Forms and Instructions
5. Employee Performance Plan/Progress Review Form (USUHS Form 1436A. Revised 12/92)
6. Employee Performance Rating Form (USUHS Form 1436B)
7. Annual Rating Table
8. Probationary Rating Table
9. Special Rating Table



**REFERENCES**

- a. USUHS Instruction 1435, "Performance Management Recognition System", July 10, 1986 (hereby canceled)
- b. USUHS Instruction 1436, "USUHS Performance Management System", March 9, 1987 (hereby canceled)
- c. 5 CFR 305, "Executive Assignment System," January 1, 1993
- d. 5 USC Chapter 54, "Merit Pay and Cash Awards"
- e. 5 USC Chapter 43, "Performance Rating"
- f. 5 CFR 430, "Performance Management", January 1, 1993
- g. 5 CFR 531, "Pay Under the General Schedule", January 1, 1993
- h. 5 USC 5335, "Periodic Step Increases"
- i. USUHS Instruction 1432, "Incentive Awards Program"
- j. FPM Chapter 351, "Reduction-In-Force", September 18, 1989
- k. 5 CFR 540, "Performance Management and Recognition System", January 1, 1992
- l. 5 USC 1206, "Annual Report"
- m. 5 USC 7532, "Adverse Actions"
- n. Title 5 USC
- o. Part 752 of OPM regulations, "Adverse Actions", December 31, 1980
- p. 5 USC 5304, "Presidential Policies and Regulations"
- q. 5 USC 5303, "Higher Minimum Rates; Presidential Authority"
- r. 5 CFR 352, "Reemployment Rights", January 1, 1992
- s. 5 USC 4312 for the Senior Executive Service (covered by the office of the Secretary of Defense Regulation DoD 1402.3H).





## **DEFINITIONS**

**1. APPROVING OFFICIAL** - For performance plans and ratings other than "Fully Successful", an official in the chain of supervision above the reviewer, but no lower in the chain than Chairpersons, Activity Heads, etc.

**2. CRITICAL ELEMENT** - A major component of a job consisting of one or more duties and responsibilities which contribute to accomplishing departmental goals and objectives and which is of such importance that unacceptable performance on the element would result in unacceptable performance in the position and a summary rating of "Unacceptable".

**3. DAYS** - Calendar days.

**4. ELEMENT RATING** - The level of performance on an individual element which is determined by comparing accomplishments against the performance standard for each critical and non-critical element (i.e., Exceeded, Met, Not Met, or Not Rated) of an employee's performance plan.

**5. NON-CRITICAL ELEMENT** - A duty or responsibility of an employee's position which does not meet the definition of a critical element, but is of sufficient importance to warrant written appraisal and assignment of an element rating.

**6. PERFORMANCE** - An employee's accomplishment of assigned duties and responsibilities as specified in the critical and non-critical elements of the employee's performance plan.

**7. PERFORMANCE MANAGEMENT AND RECOGNITION SYSTEM (PMRS) -**

A system (prescribed by 5 USC Chapter 54<sup>d</sup>) which covers performance appraisal, pay increases, performance awards, and cash awards for employees in positions GM-13 through GM-15, referred to in this Instruction as GM employees.

**8. PERFORMANCE APPRAISAL** - The act or process of reviewing and evaluating the performance of an employee against the described performance standards for critical and non-critical elements.

**9. PERFORMANCE PLAN** - The written record of an employee's critical and non-critical elements and performance standards.

**10. PERFORMANCE RATING** - The written record of an employee's performance compared to his or her performance plan.

**11. PERFORMANCE STANDARD** - A statement of the expectations or requirements established by management for each critical and non-critical element at the rating level "Met". A performance standard may include, but is not limited to, factors such as quality (how well), quantity (how much), timeliness (when), manner of performance (how), and cost-efficiency. The standard should be as objective and measurable as possible.

**12. PMS** - A system prescribed by 5 USC Chapter 43<sup>e</sup> and implemented and supplemented by 5 CFR Part 430, Subpart B<sup>f</sup>, which covers performance ap-

praisal and the results thereof as a basis for adjusting a basic pay and determining performance awards, training, rewarding, reassigning, promoting, reduction in grade, retaining, and removing GS and FWS employees.

**13. PROGRESS REVIEW** - A review of the employee's progress toward achieving performance standards, not in itself a rating.

**14. RATING OFFICIALS** - The individuals in the employee's chain of command (i.e., the rating supervisor, the reviewer, and the approving official) who prepare employee performance plans and ratings.

**15. RATING PERIOD** - The period of time, normally 1 year, but no less than 90 days under an approved performance plan, for which an employee's performance will be reviewed and a performance rating prepared.

**16. RATING OF RECORD** - The summary rating required at the time specified in this Instruction for annual and proba-

tionary ratings, including the written notice at any time a GM employee fails to meet the performance standards for one or more critical elements.

**17. RATING SUPERVISOR** - The employee's immediate supervisor, civilian or military, who prepares the employee's written performance plan and rating.

**18. REVIEWER** - An individual in the employee's supervisory chain who is normally the rating supervisor's immediate supervisor. For "Fully Successful" ratings, the reviewer is also the approving official.

**19. SUMMARY RATING** - The assignment of one of five levels (Outstanding, Highly Successful, Fully Successful, Minimally Acceptable, or Unacceptable) to describe annual overall performance. A special rating is a type of summary rating, given under the circumstances described in Para K.3 (Special Ratings) of Enclosure 3.

## **PROCEDURES**

### INDEX

- A. Orientation and Training
- B. Program Evaluation
- C. Employee Performance Plans
- D. Employee Participation
- E. Identification of Critical and Non-Critical Elements
- F. Establishment of Performance Standards
- G. Special Requirements for Performance Plans and Ratings
- H. Variations in Critical and Non-Critical Elements and Performance Standards
- I. Performance Management Process
  - 1. Progress Reviews
  - 2. Performance Deficiencies
  - 3. Changes to Performance Plans
- J. Employee Performance Ratings
  - 1. Preparation of 1436B
  - 2. Review
  - 3. Employee Review
  - 4. Delinquent Performance Ratings
- K. Written Ratings
  - 1. Annual Ratings
  - 2. Probationary Ratings
  - 3. Special Ratings
- L. Element Ratings
- M. Summary Rating Levels
- N. Inability to Rate
- O. Grievances
- P. Performance Management Linkage
  - 1. General
  - 2. Training
  - 3. Within Grade Increase (WGs)
  - 4. Notice of Determination
  - 5. Reconsideration of a Negative Determination
  - 6. Continuing Evaluation
  - 7. Merit Increases
  - 8. Performance Awards
  - 9. Quality Step Increase (QSI)
  - 10. Superior Accomplishment Awards (Special Act or Service Award)

- 11. On-The-Spot Cash Award
- 12. Promotion
- 13. Probationary or Trial Periods
- 14. Reduction In Force (RIF)

Q. Reassignment, RIF, or Removal for Unacceptable Performance

1. General

2. Actions Covered

R. Action Requirements

S. PMRS Plan

## A. Orientation and Training

1. Managers and supervisors will ensure program success, including employee understanding. It is essential, therefore, that managers and supervisors are trained in:

a. Performance management objectives, policies and procedures.

b. Methods to identify critical and non-critical elements and to establish related performance standards comparing individual performance to departmental goals and objectives.

c. Techniques of performance appraisal including performance review, feedback to employees, and assistance to employees in improving performance.

d. Linkages between performance management and other personnel decisions.

2. Orientation will be provided for new employees. New rating supervisors will receive initial training on performance management objectives, policies, and procedures. Refresher training will be provided as needed. Managers must be trained to carry out reviewer and approving official responsibilities and to hold subordinate supervisors accountable for their performance management duties. Orientation and training will be supplemented by employee and supervisor's newsletters and other publications and notices.

## B. Program Evaluation

1. Evaluation of performance management effectiveness, with feedback to management, will be ongoing.

2. Internal evaluation by the Director, CHR, and findings of the PSRB will be used to identify problems or weaknesses in the USUHS Performance Management program and determine actions to improve its effectiveness.

## C. Employee Performance Plans

1. A performance plan will be prepared for each permanent employee or for an employee who has been detailed or assigned temporarily to a position for 120 days or more.

2. Performance plans will be recorded on USUHS Form 1436A, communicated to the employee in writing at the beginning of each rating period (normally within 30 days), and reviewed periodically by the supervisor and employee.

3. Performance plans will be updated as needed and will be the basis for performance review during the rating period. When an employee is detailed or temporarily assigned to a position for 120 days or longer outside USUHS, the rating officials will make arrangements with the outside organization for preparation of "Employee Performance Rating", USUHS Form 1436B.

4. Performance standards for the accomplishment of organizational objectives must be included in performance plans by incorporating objectives, goals, program plans, work plans, or other similar means that account for work results.

5. When new supervisors are assigned, they will review and discuss performance plans with subordinate employees as soon as possible but no later than 30 days after arrival. Similarly, supervisors will review and discuss per-

formance plans with new employees within 30 days of their assignment. Review and discussion will be documented by means of the supervisor and employee signatures in Section IV of USUHS Form 1436A.

6. Performance plans must be reviewed and approved by the approving official at the beginning of each rating period and when plans are changed during the rating period. When the President, USUHS is the rating supervisor, higher level review/approval is not required.

7. When there is disagreement between the supervisor and the reviewing/approving official over the content of a performance plan, they should meet and discuss their differences. If the differences cannot be resolved in this manner, the reviewing/approving official may direct the supervisor to make the changes that the reviewing/approving official deems necessary.

#### D. Employee Participation

1. Performance plans will be established and updated with employee participation.

2. While employees are to take part in this process, final decisions will be made by rating officials.

3. Employee participation may be accomplished by means including, but not limited to the following:

a. Employee and supervisor discussion and joint development of performance plans.

b. Employee development of a draft performance plan.

c. Employee comments on draft performance plan prepared by supervisor.

d. Proposed performance plans are prepared by a group of employees occupying similar positions, with supervisors' approval.

#### E. Identification of Critical and Non-critical Elements

1. Critical and non-critical elements are identified through an analysis of duties and responsibilities required by the position and their linkage to the mission, functions, and goals and objectives of the organization. Ordinarily, a position will have between two and eight job elements. Every position will have at least one critical element and one non-critical element. Performance plans with more than ten elements require prior approval of the Director, CHR.

2. Critical and non-critical elements will be consistent with the duties and responsibilities assigned to the employee and the position. Supervisors must ensure that position descriptions are kept current. Other sources that may help to identify critical and non-critical elements are mission or function statements, program budget and planning documents, organizational goals and objectives, and previously developed performance standards.

3. Collateral duties, such as Equal Employment Opportunity (EEO) Counseling, are not an integral part of the position. Since they do not meet the criteria for a job element, collateral duties will usually not be included in performance plans. Supervisors must be aware, however, that the impact of assigned collateral duties on established performance

standards may require revision of employee performance plans.

4. In designating critical elements, the supervisor must keep in mind that failure to meet the standard(s) for a single critical element must result in "Unacceptable" performance, and action must be taken to remove the employee from the position by reassignment, reduction in grade, or removal from the Federal service. Thus, considerable restraint should be used in identifying critical elements. Generally, critical elements should be broad in scope and limited in number. Answering "Yes" to two basic questions will help a rating supervisor determine whether an element is critical:

a. Will failure to meet the standard(s) on the element have an adverse effect on completion of the work of the organization or other organizations?

b. Can action be initiated to remove or reduce in grade an employee who fails to meet the standard(s) for this element, regardless of performance on any other element(s)?

#### F. Establishment of Performance Standards

1. A performance standard describing "Fully Successful" performance (i.e., performance at the element rating level "MET") will be established for each critical and non-critical element. A performance standard for a critical or non-critical element is a measurable statement or statements, describing management expectations for work outputs. When there are multiple statements, management's expectations for each statement (individually and collectively) and the consequences for failure to meet

these expectations should be made clear. Performance below the identified "Fully Successful" level for one or more of the multiple statements in a specific job element may result in remedial corrective action. A standard is expressed as a range of performance to obtain expected results and should include qualifying information, such as resources available. Often, multiple statements are used to describe measurable factors of performance in terms of quality, quantity, timeliness, or manner of performance. Together, these statements, which should be objective and reasonable in number, make up one performance standard for an element for which only one element rating is assigned.

2. Performance standards should be consistent with the duties and responsibilities of the position. Standards of conduct (e.g., for tardiness, absenteeism, insubordination, etc.) will not be included in performance standards. Similarly, personal traits (e.g., interpersonal relationships, resourcefulness, dependability, etc.) are not appropriate bases for performance appraisal unless they are clearly job related and capable of being documented and measured. What can be measured is the manner in which a job is performed (i.e., developing and maintaining good working relationships with representatives of other organizations). Conduct problems normally will be corrected through disciplinary procedures, rather than by the performance management process.

3. A well-defined performance standard will:

a. Describe management's expectations for acceptable performance of a critical or non-critical element.

b. Provide a reliable yardstick to measure individual accomplishments.

c. Be meaningful, challenging, attainable, and within the employee's control.

d. Be set at a level which is high enough to meet the needs of the position and to motivate the employee toward excellence, and be set at a level which can be met by a competent employee.

4. Pass/fail standards (also called absolute standards) cannot be exceeded and should be avoided unless a single failure to meet the absolute standard(s) measuring performance of a critical element could result in death, injury, breach of national security, or great monetary loss.

5. Performance standards require periodic review for needed change. Factors such as a change in the level of responsibilities or a change in program priorities could trigger a change to performance standards to maintain their accuracy.

#### G. Special Requirements For Performance Plans and Ratings

1. Furthering EEO and Affirmative Action (AA) is an important USUHS goal and a significant aspect of supervisory and managerial positions. To achieve this goal, EEO/AA will be a critical element in all supervisory positions. Also, EEO/AA will be a critical element in management official positions where program management actions directly affect EEO/AA. Performance standards for EEO/AA will be described in specific terms and will indicate the goals desired. In developing performance standards, the rating supervisor is encouraged to use

specific criteria, such as:

a. Recruitment, promotion, training, and incentive awards actions.

b. Program support as demonstrated by planned actions within the work force and the community, through standards that build a harmonious environment free of discrimination and through standards that reinforce EEO/AA policy.

c. EEO/AA standards imposed by higher level supervisors and managers on subordinate supervisors and other standards that lead to fair and equal treatment of people.

#### 2. Personnel Management

a. Will be identified as a critical element for all supervisory positions.

b. Supervisors will be accountable for all personnel management duties and responsibilities required by their positions.

c. Performance standards will be designed to measure the extent to which sound personnel management principles are practiced and attained during the rating period.

d. In evaluating performance in the Personnel Management element, the rating supervisor should establish specific criteria such as, but not limited to:

(1) Recruitment;

(2) Promotion;

(3) Training and incentive awards actions;



(4) EEO/AA performance requirements imposed on subordinate supervisory personnel;

(5) Timely and accurate completion of performance management process;

(6) Timely processing of employee complaints;

(7) Administration of leave in accordance with applicable regulations;

(8) Timely processing of Office of Workers' Compensation Program Claims.

3. Supervisory and managerial positions involve supervising people and managing programs. As such, additional measures are available for use in evaluating performance in these positions. Performance elements and standards will be established to provide for appraisal of the following:

a. Organizational accomplishments as well as individual performance.

b. Improvement in efficiency, productivity, and quality of work or service, including any significant reduction in paperwork.

c. Internal management control, position management, audit resolution, and safety.

d. Cost efficiency and timeliness of performance (e.g., efforts to increase competition and achieve cost savings in contracting).

e. Ability of contracting officer to increase contract awards to small busi-

ness concerns, historically black colleges and universities, and minority institutions.

f. Other indications of the effectiveness, productivity, and quality of performance of employees supervised.

4. To ensure the proper handling and protection of classified information, performance plans for employees whose duties entail access to classified information will provide for appraisal of the following:

a. Whether or not supervisors are aware of actions, behavior, or conditions that would constitute a reportable matter under agency security regulations, and if the response is affirmative, whether or not an appropriate report has been made.

b. Discharge of security responsibilities.

5. Rating officials shall consult other USUHS staff officials (e.g., the Director, CHR, the Position Management Officer, EEO Officer, the Safety Officer, etc.) and team leaders who may have special knowledge of performance during the rating period. USUHS staff officials, however, will have no official role in rating, reviewing, or approving performance appraisals for employees other than those under their personal supervision. Team/Work Leaders will have no other official role in the appraisal process than to provide documented input of the employee's performance during the rating period to the rating supervisor. Data provided by staff officials and team/work leaders must be fully documented and derived from an official source. Additionally, if the data are relied on to any extent by the rating supervisor, they should be given to the reviewer and approving

official(s). They must also be made known to the employee during the appraisal process, with a copy provided to the employee upon his/her request.

#### H. Variations in Critical and Non-critical Elements and Performance Standards

1. There may be variations in critical and non-critical elements and related performance standards for like or similar jobs within organizations due to difference in mission, the character or technology of the work emphasis on performance elements, and distribution of work among individual employees. Variations should reflect real differences in jobs, not differences in the ability or performance of individual employees.

2. Variations in job requirements for some Federal wage system and clerical positions and in positions common to specific organizations are often negligible. USUHS supervisors and managers are encouraged to identify these positions and develop generic performance standards for them. Such initiatives, tailored to certain occupations or groups of occupations that are suitable for USUHS-wide application, and plans to develop and test new approaches to the development of performance standards should be submitted through supervisory channels to WFR, CHR, for coordination.

#### I. Performance Management Process

Performance management is a continuing process during which supervisors judge the work of individual employees compared to performance standards for the critical and non-critical elements of the position. An employee will be appraised only by comparing performance with his or her individual performance plan for the current rating period. The

employee must have at least 90 days (the minimum rating period) between receipt of the performance plan and the end of the rating period in order to be approved under established performance standards.

#### 1. Progress Reviews

a. Supervisors should periodically review overall performance and keep employees informed of their progress toward meeting performance standards.

b. Performance review discussions should be held as often as needed to provide supervisors with data to assess work progress and to assist employees improve their performance.

c. Supervisors will hold progress reviews at the mid-point of employees' rating periods, as a minimum.

d. Periodic discussion sessions with employees will ensure timely identification of their strengths and weaknesses and help to avoid unexpected performance ratings at the end of the rating period.

#### 2. Performance Deficiencies

a. At the time a supervisor identifies performance which fails to meet performance standards for a critical or non-critical element, the supervisor will inform the employee of his/her performance deficiencies, how the deficiencies may be corrected, and proposals for assisting the employee to improve performance.

b. Such assistance may include, but is not limited to:

- (1) Formal counseling.
- (2) On-the-job training.
- (3) Closer supervision.

c. If an employee's job performance appears to be affected by a personal problem, the supervisor should seek advice and assistance from the WFR, CHR.

d. When an employee alleges or a supervisor suspects, that a performance problem is due to alcohol or drug abuse, management must offer rehabilitation assistance to the employee.

e. At any time during the rating appraisal period that an employee's performance is determined to be below the "Fully Successful" level in one or more critical element(s), the rating supervisor must provide the employee with an established Performance Improvement Plan (PIP) of not less than 30 days during which a full opportunity for improvement is provided.

### 3. Changes to Performance Plans

a. Rating supervisors will discuss changes to performance plans with employees when changes are necessary, ensuring appropriate review and approval.

b. Changes will be developed with employee participation in the same manner as initial development of performance plans.

c. Changes in mission, organization, technology, or program emphasis, revisions to position descriptions or changes to performance standards which were too high or too low may require

revised performance plans.

d. Any such substantive changes must be introduced at least 90 days before the end of the rating period to give employees an opportunity to be rated under the revised performance standards.

## J. Employee Performance Ratings

### 1. Preparation of 1436B

a. Within 45 days after the end of the rating period, the rating supervisor will prepare a proposed USUHS Form 1436B for each subordinate employee who has been supervised by him/her for more than 90 days and has worked under established, approved performance standards for at least that period of time.

b. The supervisor will consider the performance during the entire rating period, i.e., the employee's actual performance compared to the current performance plan and performance under other plans, including special ratings and summary ratings transferred with employees from other Federal agencies, as applicable.

c. Due weight to such factors as length of time covered by special ratings and summary ratings, similarity between job elements and performance standards, and explanations of employee strengths and/or weaknesses will be given.

### 2. Review

a. Performance ratings and performance-based personnel actions will be reviewed and approved by officials at a higher level in the organization than the rating supervisor.

b. Rating supervisors will discuss proposed performance ratings with other rating official(s) before discussion with employees.

c. Mutual agreement among rating officials will be sought, but the approving official has final authority.

d. When there is disagreement between the rating supervisor and the reviewing official, they shall try to resolve it between themselves through discussion.

(1) If they cannot resolve the matter, the reviewing official shall arrange a meeting to be attended by the approving official, the reviewing official, and the rating supervisor.

(2) The rating supervisor shall summarize the disagreement and explain his/her position to the approving official.

(3) After giving complete and impartial consideration to both sides, the approving official will decide the matter and communicate it to both parties, including the requirement for the rating supervisor to make changes that the approving official deems necessary.

(4) The decision of the approving official is final, without recourse to other parties.

e. When the President, USUHS is the rating supervisor, higher level review/approval is not required.

### 3. Employee Review

a. The rating of record will not be communicated to the employee before approval of the performance rating. This

does not preclude communication about appraisal of performance between a supervisor and an employee prior to determination of a rating of record.

b. All employees will sign and date performance ratings after approval and signing by the approving official.

c. If an employee refuses to sign and date a performance rating, it will be annotated and finalized as stated in "Forms and Instructions" (Enclosure 4).

### 4. Delinquent Performance Ratings

a. If a rating supervisor fails to complete a performance rating when due, the Director, CHR will conduct a follow-up and bring the tardiness to the attention of the rating officials involved, who will complete the rating within 30 days.

b. If the rating is still delinquent at the end of 30 days, the issue will be raised to the next higher level of supervision for action.

5. When a rating official is not able to participate in the preparation of a performance rating (e.g., because of extended illness, long-term training, etc.), it will be done by the new or next-level supervisor(s) by the due date.

### K. Written Ratings

#### 1. Annual Ratings

a. An annual performance rating of record will normally be prepared for each employee at least once during each 12-month period, and will take into consideration special summary ratings given during the annual rating period.

b. Annual PMS ratings will be due in the CHR not later than 45 days following the end of the rating period.

c. The appraisal periods for USUHS are as follows:

**(1) FOR PMS (GS, WS, WL, WG) EMPLOYEES:**

1 April through 31 March of each year.

**(2) FOR PMRS (GM) EMPLOYEES :**

1 September through 31 August of each year.

d. The minimum rating period is 90 days. Rating periods may not be shortened or lengthened except for the reasons stated below.

e. Normally, an employee who remains in the same position and same organization for an entire rating period will receive only one annual rating.

f. A rating will be prepared at the end of the employee's scheduled rating period, including extensions.

g. A rating will also be completed for GS and Federal wage system employees when:

(1) As of the date the supervisor leaves, if the supervisor's departure is less than 90 days before the end of the scheduled rating period and the employee has been under his/her performance plan for at least 90 days.

(2) As of the date an employee moves by reassignment to another USUHS position, if his/her departure is

less than 90 days before the end of the scheduled rating period and he/she has been under his/her performance plan for at least 90 days. Ratings prepared under these circumstances will become the current annual performance rating of record. The due date of the employee's next annual rating is not affected.

h. The rating of record used as the basis for an acceptable level of competence (ALOC) determination for the WGI of a GS or Federal Wage System (FWS) (WS,WL,WG) must have been assigned no earlier than the most recently completed appraisal period.

**i. Extension of rating period**

(1) Rating periods may be extended not to exceed 90 days unless special circumstances exist.

(2) All extensions require the prior approval of the Director, CHR and will be documented by changing the "THRU" date in Item 4 , Section 1 of USUHS Form 1436B.

(3) An extension of a rating period will not affect future due dates, but will shorten the next rating period by the length of the extension.

(4) When an extension of a rating period is approved, the rating official will immediately inform the employee and other rating officials.

(5) Situations in which an extension is appropriate:

(a) To meet the 90-day minimum rating period (mandatory).

(b) When a USUHS GM employee

cannot be rated as of 31 August, his/her rating period will be extended for the amount of time necessary to meet the minimum 90-day appraisal period, and a rating of record based on actual performance will be prepared which will remain the rating of record until the next rating is rendered.

(c) To provide a new supervisor an opportunity to observe an employee's performance against current requirements when information concerning the employee's past performance is not available.

(d) To appraise employees whose overall performance has been less than "Fully Successful" due to a personal problem (e.g., extended illness, alcohol or other drug abuse, or other handicapping conditions) when there is evidence of improvement in performance.

(e) To provide an employee who has been notified of failure to meet the performance standards on one or more critical elements of the position, an opportunity to improve performance under a Performance Improvement Plan (PIP).

j. Rating periods for GM employees may not be extended beyond 30 September for pay purposes. When the rating period can be extended to provide the minimum 90-day appraisal period by 30 September (i.e., for pay purposes), the extension, not to exceed 30 September, will be considered to be part of the current appraisal period for which performance pay decisions are being made. The performance pay decision will be based on the rating of record prepared at the end of this extended appraisal period.

k. When the rating period cannot be extended for GM employees to provide the minimum 90-day appraisal period by 30 September, the appraisal period will be extended for non-pay purposes (i.e., reduction in force (RIF)) for the amount of time necessary to meet the minimum 90-day appraisal period, and a rating prepared at the end of this extended appraisal period. That rating will become the new rating of record, but will not be used to determine the performance pay decision. For the performance pay determination, the employee's PMRS rating of record is extended to grant a merit or general increase, provided the rating was approved no earlier than the previous appraisal period. If there is no rating of record that can be extended, the employee receives an increase equivalent to that granted for a "Fully Successful" rating.

l. When a GM employee transfers into USUHS, and cannot be rated for pay purposes under the USUHS performance appraisal plan, the transferred PMRS summary rating will be considered the employee's rating of record for the current appraisal period only for the purpose of making performance pay decisions.

m. Rating periods will not be extended because a performance plan is revised less than 90 days before the end of the scheduled rating period if the original plan was in effect at least 90 days immediately before the revision. In such situations, the original plan will be used for the current rating period, and the revised plan will be effective as of the beginning of the subsequent rating period.

n. Scheduled annual ratings will be deferred while employees, other than

be deferred while employees, other than GM employees and new supervisors and managers, are serving probationary or trial periods. When deferred, the rating period for the first scheduled annual rating will begin the first day of the ninth month of the probationary period and will not end earlier than the end of the probationary period. The first scheduled annual rating will cover a period less or more than 12 months, but will cover at least 90 days.

## 2. Probationary Ratings

a. A rating will be prepared for an employee serving:

(1) a probationary period for competitive appointment.

(2) a probationary period for initial appointment to a supervisory or managerial position.

(3) a trial period for an excepted appointment.

b. The probationary rating will cover the first eight months of the probationary period and is due in the CHR not later than the end of the ninth month of the probationary/trial period.

c. Rating supervisors will rate each critical and non-critical element of the performance plan and assign a summary rating. A summary rating level will not be assigned for GM employees and new supervisors and managers.

d. Certification to retain in or remove a probationer from his/her position will be made at the end of the first eight months of the probationary/trial period, i.e., during the ninth month. This requirement does not preclude a decision

to remove the probationer from the position at any time during the probationary period.

e. Probationary/trial ratings will be approved by reviewing officials.

f. Probationary/trial rating periods will not be extended.

## 3. Special Ratings

a. In the following circumstances, rating officials will rate each performance element and assign a summary rating level on USUHS Form 1436B within 30 days of the end of the period for which the special rating is prepared.

(1) Details and temporary promotions.

(a) When an employee is detailed or temporarily promoted within USUHS, and the detail or temporary promotion is expected to last 90 days or longer, the supervisor of the position to which the employee is detailed or temporarily promoted shall provide written critical and non-critical elements and performance standards on USUHS Form 1436A to the employee as soon as possible, but no later than 30 days after the beginning of the detail or temporary promotion.

(b) At the end of a detail or temporary promotion which lasted at least 90 days, the supervisor will prepare a special summary rating on USUHS Form 1436B. The rating supervisor will discuss the proposed rating with the reviewer prior to the discussion with the employee.

(c) The employee shall be given the opportunity to provide writ-

ten comments on the appraisal prior to the approval of the rating by the reviewer.

(d) The reviewer will sign and date the rating as the approving official after consideration of the employee's comments, if any.

(e) The rating supervisor will discuss the approved summary rating with the employee, obtain the employee's signature and date, and provide the employee the original. If an employee refuses to sign and date the rating, it will be completed as stated in Enclosure 4, Part E, 5d.

(f) A copy of the special rating will be sent to the CHR for transmittal to the supervisor of the employee's permanent position.

(g) When an employee is detailed or temporarily promoted outside of USUHS, the employee's supervisor within USUHS must make a reasonable effort to obtain appraisal information from the outside agency if the employee has served 90 days or more on such assignment.

(2) Departure of a rating supervisor or rated employee 90 days or more before the end of the annual rating period when the employee has been under his/her performance plan for a minimum of 90 days.

(a) When the rating supervisor departs his/her position, he/she will prepare a special summary rating on USUHS Form 1436B. The employee will receive the original of the approved special rating; one copy will be retained by the reviewer for the new supervisor; a copy will be sent to CHR.

(b) When the employee changes positions within USUHS or goes to another agency, the rating supervisor will prepare a special summary rating on USUHS Form 1436B. The employee will receive the original approved special rating; the two copies will be sent to the CHR for transmittal to the gaining supervisor or new agency.

(c) If the rating supervisor fails to complete the special rating as required, it is the responsibility of the reviewer to prepare the rating.

(3) An ALOC determination that is not consistent with the GS or Federal wage system employee's most recent rating of record. Note that this special rating will become the employee's rating of record.

(4) When performance improves to the "Fully Successful" or higher level 90 days or more after assignment of a summary rating below "Fully Successful". In this instance, a new summary rating will be prepared when the employee has been under his/her performance plan for a minimum of 90 days and has been performing at the "Fully Successful" level during that period.

b. To the extent that the appraisal of performance in the former position is relevant to the requirements of the new position, special summary ratings will be considered in deriving the employee's next rating of record, and a copy will be attached.

c. Special ratings will be due in the CHR not later than 30 days after the end of the special rating period.

d. Extensions of special rating



periods are not applicable.

#### L. Element Ratings

1. When preparing performance ratings, the rating official (supervisor) will assign one of four element ratings for each critical and non-critical element.

- a. EXCEEDED
- b. MET
- c. NOT MET
- d. NOT RATED

2. Employees are entitled to the element rating that most accurately describes their performance compared with performance standard(s) for the element during the rating period.

3. "NOT RATED" will be used only when an employee has had no opportunity to demonstrate performance on a performance element (e.g., performance standard revised too near the end of the rating period).

4. Only performance elements that are rated will be considered in determining the summary rating level. An employee will not be penalized for what he/she was not permitted or given the opportunity to do during the rating period.

#### M. Summary Rating Levels

1. One of the five summary rating levels, based on assigned element ratings, will be used to describe the quality of the employee's overall performance. The following will be used to determine the overall rating:

- a. 5-Outstanding - Exceeds per-

formance standards for all critical and non-critical elements.

b. 4-Highly Successful - Exceeds performance standards for the majority of critical elements and at least meets performance standards for all non-critical elements.

c. 3-Fully Successful - At least meets Standards for all critical and non-critical elements.

d. 2-Minimally Acceptable - At least meets performance standards for all critical elements and fails to meet performance standards for one or more non-critical elements.

e. 1-Unacceptable - Fails to meet performance standards for one or more critical elements.

2. In some cases, an accurate summary rating based on element ratings may not result. In such situations, approving officials may deviate from the criteria for summary rating levels. Deviations must be fully justified in item 8b, Section III of USUHS Form 1436B.

a. Absolute performance standards can not be exceeded. Accordingly, summary level ratings will not be affected by an element rated "MET".

#### b. Deviations

(1) If an accurate summary rating level will not result after consideration of special ratings for performance in other positions during the rating period, a Dean, Chair or Activity Head can approve a deviation of one rating level above or below the rating level that otherwise would result from application of the summary rating level definitions.

(2) Deviation to or from the "Unacceptable" summary rating level is not permitted.

(3) As an example of a deviation, application of a "Fully Successful" criteria indicates a "Fully Successful" performance rating level based on element ratings; however, a Dean, Chairperson or Activity Head can assign a "Highly Successful" rating after consideration of special ratings for performance in other positions during the rating period.

c. When an employee exceeds the performance standards for all critical and non-critical elements but one, and his/her performance is otherwise so outstanding that he/she warrants an "Outstanding" summary rating, a Dean, Chairperson or Activity Head can approve an "Outstanding" summary rating.

d. An employee's individual performance contribution to organizational achievements was such that although the employee was rated "EXCEEDED" on all performance elements except one critical element that was rated "MET", an "Outstanding" rating can be approved.

3. The performance appraisal and resulting rating level of a disabled veteran may not be lowered because the veteran has been absent from work to seek medical treatment.

4. A certificate for Outstanding Performance will be presented to employees rated "Outstanding". Only one certificate will be used if an "Outstanding" rating and a performance award cover the same period.

5. Ratings of record are effective on the date approved and remain in effect until replaced by another rating of record

prescribed by this Instruction.

6. Employees are entitled to the summary rating level that most accurately describes their overall level of performance during the rating period. Only those employees whose performance exceeds normal expectations should be rated above "Fully Successful". PRE-ESTABLISHED OR FORCED DISTRIBUTIONS OF SUMMARY RATING LEVELS IS PROHIBITED.

#### N. Inability To Rate

1. When a performance rating for a PMS employee cannot be completed at the end of the rating period, the rating period will be extended a maximum of 90 days from the end of the rating period and a rating will be prepared.

2. During any period of time when a new rating of record cannot be prepared or a previous rating cannot be extended, the employee's performance is presumed to be "Fully Successful".

3. There may be an inability to rate an employee in the following situations (not inclusive):

a. The employee was not given performance elements and performance standards.

b. The employee is under a "PIP" for an opportunity period to improve his/her performance.

c. The employee was on long-term training.

d. The employee does not meet the 90-day minimum rating period.

#### O. Grievances

1. Employees who are dissatisfied with their performance rating or other aspects of the performance management process may file a grievance under the USUHS grievance procedures. However, the identification of critical or non-critical elements, the establishment of performance standards, or receipt/non-receipt of an award is not subject to review under any grievance or appeal procedure, except when the employee alleges that the standards or elements are in violation of governing law, or regulation.

2. The use of Government resources, such as typing assistance, reproduction equipment, word processing centers, supplies and material (including letterhead, bond, envelopes, mailing labels, etc.) in preparing a grievance is prohibited and may result in the initiation of disciplinary action against the employee and/or his/her designated representative if such representative is an employee of USUHS.

#### P. Performance Management Linkage

1. Supervisors and managers will use performance ratings of subordinate employees as a basis for adjusting base pay and determining performance awards, training, rewarding, reassigning, promoting, reductions in grade, RIFs, retaining, and removing employees.

#### 2. Training

a. Preparing an Individual Development Plan is an integral part of the performance management process. An exception may be made when the supervisor determines that a plan is not needed; for example, when an employee has achieved full performance or plans to assist employees in improving their per-

formance.

b. Supervisors should refer to the employee's most recent performance rating when recommending on and off-the-job training and self-development activities.

#### 3. Within Grade Increase (WGIs)

a. A FWS employee will advance automatically to the next higher step if his or her current rating of record is "Fully Successful" or better, and he/she is otherwise eligible for a WGI.

b. To receive a WGI, a General Schedule (GS) employee's rating of record must be "Fully Successful" or better (i.e., performance at an ALOC) for the employee's most recently completed rating period. When an ALOC determination is not consistent with the employee's most recent rating of record, a more current rating of record must be prepared<sup>9</sup>.

c. ALOC - An ALOC determination will be made in accordance with 5 CFR 531.409<sup>9</sup>. For the purpose of section 531.409(c)(1), "Minimum period of time" established by USUHS to demonstrate acceptable performance is 90 days. For the purposes of section 531.409 (c)(2) and (d), "Minimum appraisal period" is 90 days.

#### 4. Notice Of Determination

a. The Director, CHR will ensure the following:

(1) That supervisors are informed of the requirement to determine whether or not an employee is performing at an ALOC.

(2) That advance notification of employees who are due to receive a WGI is sent to supervisors/managers approximately 60 days before the completion of the waiting period. If an employee's rating of record (for the most recently completed rating period) is "Fully Successful" or better, the WGI will be granted unless the following applies:

(a) The supervisor informs CHR (before completion of the waiting period) that an employee's performance has declined from "Fully Successful" or better to less than "Fully Successful".

(b) The WGI meets the conditions for postponement as described in 5 CFR 531.409 (c)(1) and (2)<sup>9</sup>.

(3) That supervisors are informed of the requirement to prepare a new rating of record if the WGI decision is not consistent with the employee's most recent rating of record.

b. If an ALOC has not been demonstrated, supervisors will do the following:

(1) Contact the CHR before completion of the waiting period and before issuance of a negative determination.

(2) Notify the employee, in writing, of his/her right to request reconsideration of the determination and the name of the person to whom he or she may submit the request.

5. Reconsideration of a Negative Determination - When it has been determined that an employee is not performing at an ALOC and is thus not awarded a WGI, the employee will be

afforded access to the procedures established under 5 USC 5335 (c)<sup>h</sup> and 5 CFR 531.410<sup>9</sup> for reconsideration and Merit Systems Protection Board (MSPB) appeal of a negative determination.

6. Continuing Evaluation - After a WGI has been withheld, the supervisor may, after 90 days, prepare a new rating of record and grant the WGI if the employee has demonstrated sustained performance at an ALOC. However, the supervisor shall make a new ALOC determination after no more than 52 calendar weeks following the original eligibility date for the WGI.

#### 7. Performance Awards

a. A performance award consists of a monetary award and a Commendation Certificate given in recognition of high-level performance.

b. The receipt of one or more awards for a suggestion, invention, scientific achievement or a special act or service during a period of high level performance does not prevent the receipt of a performance award unless the nomination for the performance award is based on the same accomplishment(s) for which the previous award(s) was granted.

c. Recommendation for performance awards will be made at the discretion of the supervisor. Employees should not be informed of an award recommendation until the award has been approved and processed. Such an action may create a serious morale problem if the award is subsequently not approved.

d. Nominations for performance awards should be submitted within 6

months from the approval date of the annual rating.

e. Employees will not be nominated automatically for a performance award based on their rating.

f. Performance awards should be used both to reward past performance and as an incentive to stimulate future high-level performance of the awardee and his/her peers.

g. Organizational accomplishments, including the employee's overall contribution to mission accomplishment, should be major considerations when recommending/approving performance awards for individual employees.

h. Nominations for a performance award will not be approved when:

(1) Prompted solely by the impending departure of a supervisor or an employee; or

(2) Prompted solely by the fact that the employee is currently at a pay rate subject to legal limitation.

(3) An employee has received a previous performance award based in whole or in part on the performance currently being recommended for recognition (except when a GM rating of record is extended).

i. Performance Award Criteria

(1) Employees receiving "Outstanding" ratings should be considered for a performance award or, in the case of PMS employees, a Quality Step Increase (QSI).

(2) Employees rated "Highly

Successful" and those rated "Fully Successful", who exceed the minimum requirements with at least one critical element exceeded, may also be considered for a performance award.

(3) To be eligible for a performance award a GM employee must be in the GM position on the last day of the rating period for which performance pay decisions are being made.

(4) The President, USUHS, or his designee will determine whether a GM employee who cannot be given a rating of record for the current performance rating period will be given a performance award based on an extended rating.

(5) The employee's immediate supervisor is responsible for initiating the nomination. Documentation for this award will consist of an "Outstanding", "Highly Successful" or "Fully Successful" rating of record for the most recent rating period which shows how the nominee exceeded the performance elements. Nominations should be submitted within 30 days of approval of rating.

j. Amount of Award

(1) The maximum performance award is 10% of employee's base pay.

(2) Unusually outstanding employees may receive awards up to 20% if approved by the President, USUHS. Unusually outstanding performance surpasses the normal requirements for the "Outstanding" rating and must be fully documented. For example, an unusually outstanding employee's contribution to mission accomplishment is identified,

documentable, and clearly superior to others rated "Outstanding".

(3) The Incentive Awards Review Board will make recommendations to approving officials on the amount of PMRS and PMS performance awards<sup>1</sup>.

k. Budgeting for Awards - The Vice President for Resource Management is responsible for assuring that fiscal year funds are budgeted and paid out for GM employee Performance Awards as follows:

(1) minimum of 1.15% of aggregate base payroll of GM employees;

(2) maximum of 1.5% of aggregate base payroll of GM employees.

#### 8. Quality Step Increase (QSIs)

a. A QSI consists of an additional within-grade pay increase in recognition of outstanding performance. Employees with an "Outstanding" annual rating of record for the current rating period are eligible to receive a QSI.

b. The QSI may be given only to General Schedule (GS) employees.

c. An employee may not receive more than one (1) QSI in any 52 week period.

d. A QSI may not be granted unless, at the time it becomes effective, the employee is expected to remain at least 60 days in the same organization in the same or similar position at the same grade level.

e. An employee may not receive

a QSI if the employee has previously received a performance award based in whole or in part on the performance currently being recommended for recognition.

f. Employees should never be informed that they are under consideration for or have been nominated for a QSI. Such actions may create serious morale problems if the nomination(s) is not approved.

g. The QSI will not change the effective date of the employee's normal within-grade pay increase except where receipt of a QSI places an employee in the fourth or seventh step of a grade, the waiting period for a regular within-grade increase is extended by 52 weeks under the graduated waiting period schedule.

#### 9. Superior Accomplishment Awards (Special Act or Service Award)

a. A Special Act or Service Award is a cash Superior Accomplishment Award given to recognize a meritorious personal effort, act, service, scientific or other achievement or accomplishment within or outside assigned job responsibilities.

b. All employees covered by this Instruction are eligible for this award.

c. The cash award ranges from \$25 to \$25,000, depending on the achievement being recognized.

d. An additional award may be approved at the discretion of the President of the United States.

e. Except for the On-the-Spot Cash Award, all Special Act or Service Award amounts will be determined using

the criteria for tangible and intangible benefits for suggestion awards.

f. The Special Act or Service Award is particularly appropriate to recognize short term accomplishments.

g. This award is also appropriate for recognition of civilian employee ideas or improvements resulting in tangible or intangible benefits that cannot be recognized under the USUHS Suggestion Program.

h. When an award is made for an accomplishment within job responsibilities, the act or service must significantly exceed normal expectations.

10. On-The-Spot Cash Award. The On-The-Spot Cash Award is a small Special Act or Service Award (\$25 to \$250) which may be given by a supervisor for day-to-day accomplishments of subordinate employees.

11. Promotion. Employee ratings of record will be used in the merit promotion process. Rating information used for promotion purpose should be relevant to the job for which the employee is being considered.

#### 12. Probationary or Trial Periods

a. Employees will be observed and rated during their probationary or trial periods to determine whether or not they have the qualities needed to perform assigned duties and responsibilities.

b. An employee serving a probationary or trial period for competitive or excepted appointment must meet performance standards for all performance elements (critical and non-critical) and meet all other regulatory requirements to be recommended for retention.

c. Failure to meet performance standards for one or more performance elements will be the basis for separation during the probationary period.

d. An employee serving a probationary period for initial appointment to a supervisory/managerial position who does not meet performance standards for all performance elements (critical and noncritical) related to supervisory/managerial duties will be returned to a non-supervisory/non-managerial position.

e. Certification to retain or remove a probationary employee will be made at the end of the eighth month of employment (i.e., during the ninth month), using USUHS Form 1436B. This certification requirement, however, does not mean that employees cannot be removed from the position before or after the ninth month of the probationary period.

#### 13. Reduction in Force (RIF)

a. Procedures for crediting annual performance ratings for RIF purposes will be in accordance with 5 CFR 351<sup>l</sup>.

b. Ratings of record prepared only for pay purposes to meet the requirements of 5 CFR 540.104(a)<sup>k</sup> and 5 CFR 531.404(a)<sup>g</sup> will not be used for RIF purposes.

c. No rating of record will be assigned for the sole purpose of affecting an employee's RIF retention standing.

#### Q. Reassignment, RIF, or Removal For Unacceptable Performance

##### 1. General

a. At any time during the appraisal period that an employee's performance

is determined to be below the fully successful level in one or more critical element(s), the supervisor must provide the employee with a performance improvement plan (PIP).

(1) The PIP must include the element(s) which the employee is failing to meet and describe the types of improvements that the employee must demonstrate to meet the standards for the element.

(2) It must also describe assistance to be provided to the employee in improving to the "Fully Successful" level (which may include formal training, on-the-job-training, coaching, counseling, and closer supervision) and establish a reasonable period of time (not less than 30 days) to attain that level.

(3) The supervisor may also inform the employee that unless performance in the critical element improves to and is sustained at the "MET" level, the employee may be reduced in grade, reassigned, or removed.

b. Removal from the position may include reassignment, reduction in grade in the same or another position, or removal following continued unacceptable performance within one year from the onset of an opportunity to improve period.

2. Actions covered. This Instruction covers removals and reductions in grade based solely on unacceptable performance. The exceptions are:

a. The reduction of a supervisor or a manager, who has not completed the probationary period, to the grade held immediately prior to the present assignment.

b. An action against an employee in the competitive service who is serving a probationary or trial period under an initial appointment or has not completed one year of current continuous employment other than a temporary appointment limited to one year or less.

c. An action against an employee in the excepted service who has not completed one year of current continuous employment in the same or similar positions.

d. An action initiated by the Special Counsel, Merit Systems Protection Board under the authority of 5 USC 1206<sup>l</sup>.

e. An action taken under 5 USC 7532<sup>m</sup> in the interest of national security.

f. An action taken under a provision of a statute which excepts the action from Title 5 USC<sup>n</sup>.

g. A RIF action.

h. A voluntary action initiated by the employee.

i. An adverse action for cause initiated under Part 752 of OPM regulations<sup>o</sup>.

j. An action which terminates a temporary promotion within a maximum period of 2 years, and returns the employee to the position from which the employee was temporarily promoted or to a different position, the grade or pay of which is no lower than the position from which the employee was promoted.

k. An involuntary retirement because of disability.



I. A termination under the conditions of employment specified at the time of appointment.

3. If an employee is involuntarily demoted, or if an employee accepts an offer of voluntary demotion as an alternative to the agency initiating action to demote the employee, and the employee's current basic pay is equal to a pay (step) rate on the pay schedule in the lower grade, the employee's new basic pay will remain unchanged with the demotion.

#### R. Action Requirements

1. Action may be initiated at any time to remove, reassign or reduce in grade an employee whose performance is unacceptable; however, the employee must be:

a. Informed in writing of the standards of performance.

b. Informed of performance deficiencies.

c. Allowed an opportunity to demonstrate acceptable performance in the critical element(s) at issue.

d. Informed that unless performance in the elements for which the employee was afforded a PIP improves to an acceptable level and is sustained at that level for at least one year following the receipt of the notice of opportunity to improve, the employee may be reduced in grade, reassigned or be removed.

2. Employees against whom action is proposed are entitled to:

a. Thirty days' advance written notice identifying the specific instances of

unacceptable performance on which the proposed action is based, and the critical elements involved in each instance.

b. Representation by a person of the employee's choice, so long as such service by the representative does not

(1) result in conflict of interest;

(2) conflict with the priority needs of the Government;

(3) or give rise to unreasonable costs.

c. Not less than seven days to answer orally and in writing.

d. A written decision as soon as possible, but not later than 30 days after the notice period expires. The decision must:

(1) Specify the instances of unacceptable performance on which the decision is based. Only instances which occurred in the one year period before the date of the advance notice may be used to support the decision. Only those instances included in the advance notice may be relied on to support the final decision.

(2) Be concurred with by a higher level official than the one who proposed the action. If the decision is not rendered by a higher level official, the higher level official's concurrence must be documented.

(3) Improvements in performance. Improvement in performance during the notice period may be taken into account along with the employee's answer in the final decision. If, as a

result of the employee's reply or improvement in his/her performance, it is decided to withdraw or cancel the action, the employee should be notified in writing.

(4) Extension of decision period. Deciding officials may extend a written decision not to exceed 30 days without approval from OPM for the following reasons:

(a) To obtain and/or evaluate information when the employee has raised a medical issue in answer to a proposed action.

(b) To consider the employee's answer if an extension to the reply period was granted.

(c) To consider reasonable accommodation of a handicapping condition.

(d) If a department elects to do so, to consider positions to which the employee might be reassigned or reduced in grade.

(e) Other reasons to extend the initial 30-day notice period must be approved by the Chief, Employee Relations Division, Office of Labor and Employee Relations, Personnel Systems and Oversight Group, Office of Personnel Management, 1900 E Street, N.W. Washington, DC 20415.

## S. PMRS Plan

1. A PMRS will recognize and reward quality performance by supervisors and management officials in positions classified at grades GM-13, 14, or 15. The performance management and recognition system has characteristics of the following:

a. Sets up a compensation system to attract and retain highly competent supervisory and management officials.

b. Links compensation to effectiveness of performance.

c. Simplifies the computation of performance based pay increases.

d. Provides the means to hold supervisory and management officials accountable for the effectiveness and productivity of the programs and personnel they manage.

e. Provides the means to ensure compliance with all applicable Federal laws, PMRS rules, regulations, and principles.

## 2. Base Pay Adjustments

a. General Increase. That portion of the paid adjustment under 5 USC 5304<sup>p</sup> granted to PMRS employees, or for special salary rate employees under 5 USC 5303<sup>q</sup>.

b. Pay adjustment period. The period beginning on the first day of the employee's first pay period that starts on or after the first day of the month in which an adjustment would take effect by law. The pay adjustment period ends at the close of the day preceding the beginning of the following pay adjustment period.

c. Merit increase. An amount equal to one-ninth of the difference between the maximum rate of the same grade in the GS or special rate range and the minimum rate of the GS or special rate range.

d. Rating of record. The annual performance rating required at the time specified in this Instruction or as such other time as this regulation specifies for special circumstances (Special ratings and probationary ratings are not ratings of record for PMRS employees).

### 3. Administration Target Dates

a. 31 August - The end of the rating period.

b. 1 September through 14 September - Ratings completed by rating officials.

c. 15 September - Approved ratings sent to employees and CHR.

d. 20 September - merit increase information determined.

e. 30 September - merit increase information forwarded to payroll office.

f. 1 October (first pay period on or after) - Merit increase pay adjustment given.

g. The general increase will be given at such time as specified by higher authorities.

4. Ranges of Basic Pay. The range of basic pay for covered grades shall be the same as the range for corresponding grades of the General Schedule, or of a special salary rate range established under 5 USC 5303<sup>d</sup>. However, an employee may be paid less than the minimum rate of basic pay of the grade or special rate range if his/her performance rating is less than "Fully Successful". Except in connection with retained pay, a PMRS employee's rate of basic pay may not be increased to exceed the maximum

rate of the range.

### 5. Merit Increases

a. Performance rating will be used as the basis for determining eligibility for and allocation of merit increases for GM employees.

b. Merit increases are to be effective on the first day of the first applicable pay period commencing on or after 1 October of each year.

c. Merit increases may be paid retroactively, but must be received by the employee no later than 31 December of the applicable year.

d. An employee newly appointed to the Government within 90 days of the effective date (including the effective date) of the merit increase is not eligible for a merit increase. A reinstated employee is considered to be a newly appointed employee.

(1) An employee under 5 CFR part 352, subpart J<sup>r</sup>, is not considered to be a newly appointed employee.

(2) An employee receiving a new appointment without a break in service of one or more work days is not considered to be a newly appointed employee.

e. An employee moving into the PMRS on or before the effective date of the merit increase who has received an increase to base pay (promotion, WGI, quality step increase) within 90 days of such an effective date, will not receive a merit increase for that fiscal year. An increase occurring on the effective date of the merit increase is considered to be within this 90-day period. Actions cov-

ered by this 90-day rule include:

(1) Conversion to the PMRS.

(2) Reassignment to the PMRS from another Federal pay system.

(3) Promotion to the PMRS.

(4) Temporary promotion to the PMRS.

(5) Merit Increase Determination. 5 CFR 540.107<sup>k</sup> depicts the amount of the merit increase for employees whose performance is rated "Fully Successful" or above. PMRS employees rated "Minimally Acceptable" or "Unacceptable" and whose salary is at the maximum payable rate for his/her grade, receive no merit increase.

(6) Special provisions for Pay Administration.

f. A merit increase shall be granted as described below when an employee cannot be rated because the employee has performed under elements and standards for less than the 90 day minimum rating period; the rating supervisor has left the agency and higher level supervisors cannot reasonably appraise the performance of the employee; or the employee is on long-term training. Under the circumstances a merit increase shall be granted using one of the following rules in the order specified:

(1) The employee's rating period is extended to provide a minimum rating period. For pay purposes, such extension will not exceed 30 September of the same year; or

(2) The employee's rating of record in a GM position (either at USUHS or from another Federal agency) is extended and the appropriate increase is granted if that rating was given no earlier than the previous rating (e.g., the 1992 merit increase could be based on the 1991 rating of record); or

(3) The employee receives an increase equivalent to that granted for a "Fully Successful" rating.

## **FORMS AND INSTRUCTIONS**

**A. EMPLOYEE PERFORMANCE PLANS** - USUHS FORM 1436A will be completed in triplicate for each PMS and PMRS employee within 30 days of the beginning of their established rating periods. The rating supervisor will ensure that changes to the Performance Plan during the rating period are approved and documented on both the supervisor's original and employee's copy of the form.

### **B. EMPLOYEE PERFORMANCE RATINGS**

1. Progress reviews. The Supervisor will hold at least one progress review with employees during the appraisal period, at the mid-point of the rating year. Quarterly progress reviews are encouraged, especially for minimally acceptable performance. The reviews are used to advise employees of current performance. Narrative comments are optional and may be made by the supervisor by utilizing memorandums for record. Personal notes and materials that are not circulated to or used by anyone other than the supervisor and are discarded or retained at his/her discretion are not agency records for Freedom of Information Act purposes. However, when such materials are used as a basis for any action and retained, they become official records under both the Freedom of Information and Privacy Acts. Since it may not be evident in the beginning that these notes may be used for purposes other than to extend the supervisor's recall, it is advisable to inform the employee of their existence at the time they are made and ask the employee to initial and date

the supervisor's copy(ies) of the MFR(s). Employees will be given a copy of any written record documenting their performance, if they request it, and asked to sign an acknowledgment of the receipt of the copy(ies).

#### **2. Written performance ratings**

a. Performance ratings will be prepared on USUHS Form 1436B in triplicate. The original will be given to the employee. The supervisor will retain a copy. The third copy of USUHS Form 1436B will be sent to the CHR for filing in the performance file. Completed ratings are due in the CHR not later than 45 days following the end of the rating period, unless otherwise specified.

(1) When a special rating is completed for a departing employee, the "supervisor's" copy of the rating and the performance plan will be sent to the CHR for forwarding to the supervisor at the gaining department/agency. When a special rating is completed by a departing supervisor, he/she will leave a copy for the incoming supervisor.

(2) When a special rating covers performance on a temporary promotion or detail, the "supervisor's" copies of the rating and the performance plan will be sent to the employee's supervisor of record.

b. Approved performance ratings may be changed as a result of findings by grievance or EEO complaints examiners or presiding officials. Also, discrepancies resulting from typographi-

cal or clerical errors which unintentionally changed the content or due dates of the rating may be discovered during the next rating period. In these situations, a new USUHS Form 1436B will be prepared immediately for the rating period at issue. The corrected rating will be completed and distributed in accordance with the Instructions. It will not refer to the replaced rating. The "supervisor's" copy of the first rating will be destroyed. The initial record copy will be removed from the employee's performance file and placed in the grievance or EEO complaint, request for reconsideration or appeal file as appropriate. The new rating will be placed in the employee's performance file.

### **C. INCENTIVE AWARD NOMINATIONS AND ACTIONS**

1. Nominations. Employees will be nominated for awards on USUHS Form 1416, which will be prepared in duplicate. The nomination will be sent from the nominating official through the reviewer to the CHR for regulatory review prior to submission to the approving official for awards. Honorary awards and awards in excess of \$1000 will be forwarded to the USUHS Incentive Awards Review Board for recommendation of disposition prior to submission to the approving official in accordance with USUHS Instruction 1432.

2. Documentation. USUHS Form 1436B will serve as justification for QSI and Performance Award nominations. Justification for other award nominations will be attached to USUHS Form 1416 in duplicate.

3. Time of Submission. Recommendations for performance awards will be

made at the end of the performance appraisal period, in conjunction with the assignment of a rating of record.

#### **4. Disclosure/Non-disclosure**

a. Employees nominated for an award will not be advised of the nomination until an award is approved.

b. The CHR will return one copy of the completed award nomination, whether it was approved or not approved, to the nominating official for retention.

### **D. INSTRUCTIONS FOR USUHS FORM 1436A, "EMPLOYEE PERFORMANCE PLAN/PROGRESS REVIEW"**

#### **1. GENERAL INSTRUCTIONS**

a. The purpose of the performance plan is to inform the employee of what is to be accomplished during the rating period and how those accomplishments will be evaluated. This plan, when properly authenticated, may be used for more than one rating period.

b. Performance plans will specify what the employee is expected to do, how well it is to be done, and when results are due. The employee should fully participate in the development of the performance plan; however, final decisions will be made by the rating supervisor. The plan will be developed within 30 days of the beginning of the rating period, and USUHS Form 1436A will be completed in duplicate. It should be reviewed periodically during the rating period and updated as needed.

c. Performance elements are the major components of a job. They express the fundamental purpose of the

job. Generally, the simpler and fewer elements the better. Performance elements can usually be identified by asking the questions: "Why does this position exist?" and "What is the overall purpose of the activities the employee is paid to perform?"

d. Mission and function statements, departmental goals and objectives, and position descriptions should be considered in identifying performance elements, but not identified as performance elements per se. Normally, performance elements will be derived from consolidating and summarizing the employee duties and responsibilities reflected in these documents.

e. A critical element is a major component of a job consisting of one or more duties and responsibilities which contributes to accomplishing departmental goals and objectives and which is of such importance that unacceptable performance on the element would result in "Unacceptable Performance" in the position, regardless of performance on any other element(s).

f. A non-critical element is a major component of a job which does not meet the definition of a critical element above, but is of sufficient importance to warrant appraisal and assignment of an element rating.

g. Each performance plan must have at **least one critical and one non-critical element. The number of performance elements should ordinarily be between two and eight.** Identification of more than 10 elements requires the approval of the Director, CHR. Supervisory/managerial positions' performance plans will include Personnel Management, EEO/AA, and Internal

Management Controls, where applicable, as critical performance elements.

h. Performance standards express the results expected to be achieved during the rating period to accomplish the purpose of the performance elements. The reason that performance standards are written is to allow for understanding and documentation. Thus, standards should be written to allow performance to be measured in terms of quality, quantity, and/or timeliness. Not all standards can be measured by all three. In most positions, the quality of performance may be more important than quantity. The standards should concentrate on work results or end products rather than on work behaviors or work processes.

i. The standards should be written at the "Fully Successful" level to permit the fully qualified, competent employee to meet the standards and the more competent employee to exceed them. Pass/fail standards (also referred as absolute standards) cannot be exceeded and, wherever possible, should be avoided.

j. Each standard must be specific, measurable, attainable, and within the control of the employee. Do not include conduct related standards, such as tardiness, absenteeism, or insubordination, which should be corrected through disciplinary/adverse action procedures. Further, performance standards relating to personal traits, such as interpersonal relationships, resourcefulness, dependability, etc., are inappropriate unless they are clearly job-related and capable of being documented and measured. Manner of performance (e.g., developing and maintaining good working relationships with representatives of other depart-

ments/organizations) may be included.

**2. SECTION I. ADMINISTRATIVE INFORMATION.** To be completed by the rating supervisor. The CHR will provide this information from the employee's Official Personnel Folder.

a. Item 1. Enter the employee's name and social security number as they appear on the employee's most recent SF 50, Notification of Personnel Action.

b. Item 2. Enter the employee's official position title and number as they appear in the "TO: block of the employee's most recent SF 50," Pay Plan & Occupational Series Code" and "Grade" blocks, respectively, of the "TO" side of the employee's most recent SF 50.

c. Item 3. Enter the Department/Activity as they appear in the Name and Location of Employing Office" block of the "TO" side of the employee's most recent SF 50.

d. Item 4. The regular annual rating period for GM employees is from 1 September through 31 August. Annual rating period for GS and FWS is from 1 April through 31 March.

e. Probationary period rating will begin on the date the employee enters a position requiring a probationary period, i.e., a probationary period for competitive appointment, a probationary period for initial appointment to a supervisory or managerial position, or a trial period for an excepted appointment. The probationary rating period will cover the first eight months of the probationary period.

f. Special rating periods normally begin on the effective date of a detail or temporary promotion expected to last

120 days or longer, and normally end on the ending date of such temporary assignment.

**3. SECTION II. PERFORMANCE ELEMENTS AND STANDARDS.** To be completed by the rating supervisor with employee participation.

a. Item 5a. List the performance elements for which performance standards will be established. Ordinarily there will be between two and eight performance elements for each position; at least one will be critical, and one will be non-critical. Number each element sequentially. Plans with more than 10 performance elements require the prior approval of the Director, CHR.

b. Item 5b. Enter "Yes" opposite each performance element in column "a" which is a critical element. Enter "No" opposite each job element which is not a critical element.

c. Item 5C. Enter the performance standards which the employee must meet for acceptable performance of each performance element. This is an explanation of what the employee must do for "Fully Successful" performance or performance at an ALOC. If additional space is needed, utilize the continuation sheet. Fill in the upper right-hand corner of USUHS Form 1436A to show the total number of pages.

**4. SECTION III. CHANGES TO PERFORMANCE REQUIREMENTS.** Performance plans will be reviewed and updated as needed during the rating periods.

a. Item 6. Identify any performance requirements that have changed during the rating period, i.e. identification



of non-critical and critical elements and performance standards, and the approximate date on which the changes occurred. All changes must be initialed and dated by the rating supervisor, reviewer/approving official and employee. Annotate the appropriate entry(ies) in Section II. If the employee refuses to initial changes, the supervisor will note this and the date.

b. Item 7. Enter the reason(s) for each change identified in Item 6.

#### **5. SECTION IV. CERTIFICATION OF DEVELOPMENT AND RECEIPT OF PERFORMANCE PLAN.**

a. The rating supervisor, reviewer/approving official, and employee will sign and date both copies of the plan.

b. Items 8, 9, 10 and 11. The supervisor will complete at the beginning of each rating period, upon change of rating supervisor during the rating period, and after the completion of annual ratings for recertification of performance plans. The supervisor's signature indicates that the employee has been given an opportunity to take part in developing performance elements and standards and that Section II has been discussed with the employee. The employee's signature indicates that the supervisor has discussed the plan with the employee and has given a copy to the employee. It does not necessarily mean that the employee agrees with the performance elements and standards. After the employee has signed the plan, the supervisor will provide a copy to the employee and retain the original for his/her office file. If the employee refuses to sign and date the performance plan, the supervisor will note the refusal in Item 11, enter the date, and provide the em-

ployee with a copy of the performance plan. The date in Item 11 will be the effective date the performance plan is implemented.

#### **6. SECTION V. OPTIONAL USE ONLY FOR CHR**

**7. SECTION VI. PROGRESS REVIEW OF PERFORMANCE STANDARDS** - Supervisors will hold at least one progress review at the mid-point of the rating period. Both the employee and the supervisor shall initial and date to certify that the progress review took place. Narrative comments may be made by the supervisor and employee in memorandum form.

**E. INSTRUCTIONS FOR USUHS FORM 1436B, "EMPLOYEE PERFORMANCE RATING"** - Completed after the rating period ends.

#### **1. SECTION I. ADMINISTRATIVE INFORMATION**

a. The rating supervisor will fill in this information for all types of ratings.

b. Items 1, 2, 3, and 4. Refer to Section I of USUHS Form 1436A, Employee Performance Plan/Progress Review, to complete these items.

c. Item 5. Check the appropriate box.

d. Item 6. Complete only for probationary ratings. Based on a comparison of the employee's performance during the rating period to the performance standards for his/her position, recommend the employee for retention in or removal for the position. If the recommendation is for removal from the position and Federal service, contact the

CHR, WFR for guidance and assistance.

## **2. SECTION II. PERFORMANCE EVALUATION.**

a. To be completed by the rating supervisor.

b. Item 7a. Transfer performance elements from Item 5a of USUHS Form 1436A, using the numbers assigned to each element on USUHS Form 1436B (e.g., "1. EEO/AA").

c. Item 7b. Enter "YES" opposite each performance element in column a which was identified on USUHS Form 1436A as a critical element and "NO" after each job element in column 7a identified on as non-critical.

d. Item 7c. Using the number assigned to each element in column 7a, describe the results achieved by the employee during the rating period. Enter appropriate remarks that have a bearing on the employee's performance (strengths and weaknesses) during the rating period. Supervisors are encouraged to use this opportunity to explain the basis for all element ratings; however, if the employee's performance was on a par with the standard (s), i.e., the employee neither exceeded nor failed the standard (s) for the element, no results achieved are required to be documented in this column. When the results of a special rating are considered in assigning an element rating the consideration given to the special rating will be fully explained in this section and a copy of the special rating attached. If additional space is needed to document demonstrated performance, use the continuation sheet. Fill in the upper right-hand corner of USUHS Form 1436A to show the total number of pages.

e. Item 7d. Compare the documented demonstrated performance for each element (column c) with the performance standard (s) for the corresponding element identified in column 5c of USUHS Form 1436A. Enter the appropriate rating for each element: "E" if standards were exceeded, "M" if standards were met, "NM" if standards were not met, or "NR" if the employee had no opportunity to demonstrate performance of the element during the rating period. There will be one rating for each element regardless of the number of standards.

## **3. SECTION III. COMMENTS.**

a. The employee and rating officials may record their comments in this section.

b. Item 8a. The employee may enter his/her comments about the demonstrated performance documented in Item 7c. Initial and date any comments entered in this item.

c. Item 8b. Explain fully a deviation from the rating level that would result from application of the Summary Rating Level Definitions. Explain fully any change(s) to the assigned element rating (s) resulting from review of the employee's comments and the rationale therefore (including corresponding change(s)) to the documented demonstrated performance which will support the new element rating(s). Initial and date any comments entered in this item.

## **4. SECTION IV. SUMMARY RATING LEVEL.**

a. To be completed by the Approving Official. Omit for probationary ratings for GM and new supervisors/managers.

b. Check the box which best describes the employee's overall performance during the rating period based on element ratings. The summary rating level should agree with the definitions below.

(1) OUTSTANDING. Exceeds performance standards for all critical and non-critical elements.

(2) HIGHLY SUCCESSFUL. Exceeds performance standards for the majority of critical elements and at least meets the standards for all non-critical elements.

(3) FULLY SUCCESSFUL. At least meets performance standards for all critical and non-critical elements.

(4) MINIMALLY ACCEPTABLE. At least meets performance standards for all critical elements and fails to meet performance standards for one or more non-critical elements.

(5) UNACCEPTABLE. Fails to meet performance standards for one or more critical elements.

## 5. SECTION V. AUTHENTICATION.

a. The rating supervisor, reviewer, approving official, and the employee will sign and date all three copies of the rating in the order in which their signature blocks appear on the form.

b. Item 10. The rating supervisor will discuss the proposed rating with the reviewer and approving official before discussion with the employee. When there is disagreement among rating officials on an appraisal, the disagreement will be resolved by the approving official. After agreement among the

rating officials, the rating supervisor will discuss the rating with the employee and provide the employee a reasonable amount of official time (not to exceed two workdays) to enter comments in Item 8a, if the employee so requests. The employee will initial and date his/her comments; however, he/she does not sign or date the rating in Item 13 at this time. The rating supervisor signs and dates the three copies of the rating and sends them to the reviewer. The supervisor's signature certifies that the performance evaluation (i.e., Section II) was discussed with the employee and that the employee was given the opportunity to enter comments in Item 8a.

c. Items 11 and 12. The reviewer and approving official will review the performance evaluation and the employee's comments, if any. If any element rating (s) is (are) changed following review of the employee's comments, the change(s) and rationale therefore (to include documentation of demonstrated performance to support the new element rating(s)) will be recorded, initialed, and dated in Item 8b. The reviewer and approving official will sign and date all copies of the rating. The approving official will complete Section IV, Summary Rating Level, and return all copies of the approved rating to the rating supervisor. The date in Item 12 is the effective date of the rating.

d. Item 13. The rating supervisor informs the employee of the approved summary rating level and obtains the employee's signature on the rating. The employee signs and dates all copies of the rating and returns them to the supervisor. The employee's signature does not necessarily mean agreement with the rating. The date in Item 13 will be the date on which the employee was notified

officially of the summary rating assigned. After the employee signs the rating, the supervisor will furnish the original to the employee, retain a copy, and forward a copy to CHR for inclusion in the Performance Management File (PMF). If the employee refuses to sign and date the rating, the supervisor will attempt to solve the problem. If it cannot be solved and the employee still refuses to sign, the supervisor will note the employee's refusal in Item 13 and enter the date.

e. Contact the CHR, WFR, for guidance on the rating process and/or as soon as a performance problem becomes apparent.

**UNIFORMED SERVICES UNIVERSITY OF THE HEALTH SCIENCES  
EMPLOYEE PERFORMANCE PLAN / PROGRESS REVIEW**PAGE 1 OF 3 PAGES**SECTION I - ADMINISTRATIVE INFORMATION**

1. NAME (LAST, FIRST, MI) AND SSN:

2. POSITION TITLE AND NUMBER, PAY PLAN, SERIES,  
AND GRADE:

3. DEPARTMENT/ACTIVITY:

4. RATING PERIOD:

FROM: 19\_\_ / \_\_ THRU: 19\_\_ / \_\_

**SECTION II - PERFORMANCE ELEMENTS AND STANDARDS**

5a.

PERFORMANCE ELEMENTS

b.

CRITICAL?

c.

PERFORMANCE STANDARDS

**PERFORMANCE ELEMENTS AND STANDARDS CONTINUATION SHEET**PAGE 2 OF 3 PAGES

1. NAME (LAST, FIRST, MI) AND SSN:

2. POSITION TITLE AND NUMBER, PAY PLAN, SERIES,  
AND GRADE:

5a.

PERFORMANCE ELEMENTS

b.

CRITICAL?

c.

PERFORMANCE STANDARDS

**SECTION III - CHANGES TO PERFORMANCE REQUIREMENTS**PAGE 3 OF 3 PAGES

6. PERFORMANCE ELEMENTS: (Including noncritical and critical elements and performance standards) CHANGED DURING RATING PERIOD

7. RATIONALE FOR CHANGES MADE:

**SECTION IV - CERTIFICATION OF DEVELOPMENT AND RECEIPT OF PERFORMANCE PLAN**

8. SUPERVISOR/RATER:

DATE:

SUPERVISOR/RATER:

DATE:

TYPED/PRINTED SIGNATURE BLOCK:

TYPED/PRINTED SIGNATURE BLOCK:

9. REVIEWING OFFICIAL:

DATE:

REVIEWING OFFICIAL:

DATE:

TYPED/PRINTED SIGNATURE BLOCK:

TYPED/PRINTED SIGNATURE BLOCK:

10. APPROVING OFFICIAL:

DATE:

APPROVING OFFICIAL:

DATE:

TYPED/PRINTED SIGNATURE BLOCK:

TYPED/PRINTED SIGNATURE BLOCK:

11. EMPLOYEE:

DATE:

EMPLOYEE:

DATE:

TYPED/PRINTED SIGNATURE BLOCK:

TYPED/PRINTED SIGNATURE BLOCK:

**SECTION V - OPTIONAL USE FOR CIVILIAN HUMAN RESOURCES MANAGEMENT DIRECTORATE**

COMMENTS:

**SECTION VI - PROGRESS REVIEW OF PERFORMANCE STANDARDS**

The Supervisor/Rater and Employee are to initial and date a block after each progress review  
(at least one progress review must be completed at mid-point of rating period).

12. Supervisor/

Rater \_\_\_\_\_ Date \_\_\_\_\_

Employee \_\_\_\_\_ Date \_\_\_\_\_

Supervisor/

Rater \_\_\_\_\_ Date \_\_\_\_\_

Employee \_\_\_\_\_ Date \_\_\_\_\_

Supervisor/

Rater \_\_\_\_\_ Date \_\_\_\_\_

Employee \_\_\_\_\_ Date \_\_\_\_\_

Supervisor/

Rater \_\_\_\_\_ Date \_\_\_\_\_

Employee \_\_\_\_\_ Date \_\_\_\_\_







**SECTION II - PERFORMANCE EVALUATION CONTINUATION SHEET**PAGE 2 OF 3 PAGES

1. NAME (LAST, FIRST, MI) AND SSN:

2. POSITION TITLE AND NUMBER, PAY PLAN, SERIES,  
AND GRADE:

7a.

PERFORMANCE ELEMENTS

b.

CRITICAL?

c.

DEMONSTRATED PERFORMANCE

d.

ELEMENT  
RATING

**SECTION III - COMMENTS**PAGE 3 OF 3 PAGES

8a. EMPLOYEE COMMENTS:

8b. RATING OFFICIAL COMMENTS:

**SECTION IV - SUMMARY RATING LEVEL**

Place an ( X ) in the brackets corresponding to the rating given.

9.

( ) OUTSTANDING    ( ) HIGHLY SUCCESSFUL    ( ) FULLY SUCCESSFUL    ( ) MINIMALLY ACCEPTABLE    ( ) UNACCEPTABLE

**SECTION V - AUTHENTICATION**

10. SUPERVISOR/ RATER	TYPED/PRINTED SIGNATURE BLOCK:	SIGNATURE:	DATE:
11. REVIEWER	TYPED/PRINTED SIGNATURE BLOCK:	SIGNATURE:	DATE:
12. APPROVING OFFICIAL	TYPE/PRINTED SIGNATURE BLOCK:	SIGNATURE:	DATE:
13. EMPLOYEE	TYPE/PRINTED SIGNATURE BLOCK:	SIGNATURE:	DATE:



## ANNUAL RATING

## RATING PERIOD

a. The annual rating period will normally cover a 12 month period..

b. The regular annual rating period for GM employees is 1 Sept -31 Aug. Rating periods for non-GM employees will be 1 Apr-31 Mar.

c. Rating periods may not be shortened or lengthened except for the reasons stated elsewhere in this table. Normally, an employee who remains in the same position and organization for an entire rating period will receive only one annual rating.

## RATING REQUIREMENTS

a. A rating will be prepared as of the end of the employee's scheduled rating period, including extensions.

b. A rating will be prepared: (1) as of the date the supervisor leaves if departure is less than 90 days before the end of the rating period; (2) as of the date an employee moves to another USUHS position if departure is less than 90 days before the end of the rating period.

c. When an acceptable level of competence determination is due for employees described in (1) and (2) below, a rating will be prepared as soon as the minimum rating period requirement is met (90) days.

(1) The employee has been reduced in grade because of unacceptable performance and has served in one position at the lower grade for at least 90 days under an approved performance plan for the position.

(2) The employee does not have a rating of record in any position within 90 days before the end of the waiting period and has not had an opportunity to demonstrate acceptable performance because he/she has not been informed of the specific requirements for performance at an acceptable level of competence.

## RATING PERIOD EXTENSIONS

a. Rating periods may be extended not to exceed 90 days unless special circumstances exist. Rating period extensions for GM employees are authorized by this paragraph for non-pay purposes. Rating periods for GM employees may not be extended beyond 30 September for pay purposes. Situations in which extension is appropriate, are as follows:

(1) To meet the 90 day minimum rating period (mandatory).

(2) To provide a new supervisor an opportunity to observe an employee's performance against current requirements when information concerning the employee's past performance during the rating period is not available.

(3) To appraise employees whose overall performance has been less than Fully Successful due to a personal problem (e.g. illness, alcoholism, drug abuse, or other handicapping conditions) and performance shows evidence of improvement.

(4) To provide an employee who has been notified of failure to meet the performance standards for one or more Critical elements of the position an opportunity to improve performance (mandatory).

b. Rating periods will not be extended because a performance plan is revised less than 90 days before the end of the current rating period. In such cases, the original plan will be used for the current rating period and the revised plan will be used starting with the next rating period.

**DUE DATES:** Within 45 days following the end of the rating period, unless otherwise specified.

**REMARKS:**

a. Scheduled annual ratings will be deferred while employees, other than GM employees and new supervisors or managers, are serving probationary or trial periods. When deferred, the rating period for the first scheduled annual rating will begin the first day of the ninth month of the probationary period and will end not earlier than the end of the probationary period. The first scheduled annual rating may cover a period less or more than 12 months, but will cover at least 90 days.

b. When an employee has not served 120 days in a USUHS position, but has been detailed outside of USUHS for at least 90 days, information from the outside organization will be used to prepare the rating.

c. Special ratings and summary ratings transferred from other Federal agencies will be considered in determining the annual rating and attached to the rating.

d. A GM employee's transferred rating under b (Rating Requirements) will become the rating of record for pay purposes if unable to rate employee within the 90 day minimum period.



## PROBATIONARY RATING

## RATING PERIOD

The probationary rating will cover the first 8 months of the probationary period.

## RATING REQUIREMENTS

A rating will be prepared for an employee serving (1) a probationary period for a competitive appointment.

(2) A probationary period for initial appointment to a supervisory or managerial position.

(3) A trial period for an excepted appointment.

## RATING PERIOD EXTENSIONS

Rating periods will not be extended.

**DUE DATES:** Not later than the end of the ninth month of the probationary period.

**REMARKS:**

a. Rating officials will rate each performance element when preparing a probationary rating for new employees. A summary rating will be assigned for GS and Federal Wage System (FWS) employees, but not for GM employees.

b. Only supervisory/managerial performance elements will be rated for new supervisors and managers. A summary rating will not be assigned.





## SPECIAL RATING

Enclosure 9

## RATING PERIOD

a. The minimum special rating period is 90 days (within the annual or probationary rating period) under an approved performance plan.

b. Rating periods for special appraisals end:

(1) When an employee moves to another position 90 days or more before the end of the rating period.

(2) At the end of the employee's annual or probationary rating period and/or the end of the temporary assignment, as appropriate.

## RATING REQUIREMENTS

a. Special rating will be prepared when:

(1) A temporary assignment expected to last at least 120 days or longer ends either within or outside USUHS.

(2) The annual or probationary period ends during a temporary assignment after 120 days or longer.

(3) An employee who has been under a performance plan 90 days or longer moves from one position to another during the rating period or moves to another position in another Federal agency.

(4) The supervisor of a GM employee leaves during the rating period and the employee has not been rated in the position in the current rating period or, if previously rated, performance of one or more job elements has changed since the last rating.

(5) An acceptable level of competence (ALOC) determination is not consistent with a GS employee's most recent rating of record. This special rating will be the employee's rating of record for ALOC determination purposes only.

(6) Preparation of special ratings for non-GM employees should be considered when a supervisor leaves.

## RATING PERIOD EXTENSIONS

Not applicable.

**DUE DATES:** 30 days after the end of the special rating period.

**REMARKS:**

a. Performance plans for temporary assignments should be prepared no later than 30 days after the beginning of a temporary assignment expected to last 120 days or longer. When the detail is outside of USUHS, rating officials must make a reasonable effort to arrange for and obtain performance information from the outside organization.

b. Rating officials will rate each performance element and assign a summary rating when preparing a special rating.

c. Special ratings will be considered by the rating officials when preparing the annual rating.